

05/23/01  
JCS20 U.S. PTO

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

ATTY DOCKET NO.: 5051-416DV

DATE: May 23, 2001

PATENT

10/22/50  
JCS20 U.S. PTO  
09/866021

**UTILITY PATENT APPLICATION TRANSMITTAL LETTER  
AND FEE TRANSMITTAL FORM (37 CFR 1.53(b))**

**BOX PATENT APPLICATION**

Commissioner for Patents  
Washington, DC 20231

Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) is:

- ☒ a patent application  
☐ a Continuation ☒ a Divisional ☐ a Continuation-in-Part (CIP)  
of prior application no.: **09/186,396** ; filed: **November 4, 1998**.  
☒ A Small Entity Statement(s) was filed in the prior application; Status still proper and desired.

Inventor(s) or Application Identifier:

**Boris I. Yakobson** – Cary, North Carolina

Entitled: **PHYSICAL PROPERTY MODIFICATION OF NANOTUBES**

Enclosed are:

1. ☒ Application Transmittal Letter and Fee Transmittal Form (*A duplicate is enclosed for fee processing*)
2. ☒ 14 pages of Specification (including 23 claims)
3. ☒ 3 sheets of Informal Drawings (35 USC 113)
4. ☐ Oath or Declaration
  - a. ☐ newly executed (*original or copy*)
  - b. ☒ copy from prior application (37 CFR 1.63(d) (*for continuation/divisional*) [Note Box 5 Below]
  - c. ☐ DELETION OF INVENTOR(S) (*Signed statement deleting inventor(s) named in the prior application*)
5. ☒ Incorporation By Reference (*useable if box 4b is checked*)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Microfiche Computer Program (*Appendix*)
7. ☒ Assignment papers Filed in parent application
8. ☒ Small Entity Statement Filed in parent application
9. ☒ Information Disclosure Statement and PTO-1449
10. ☒ Preliminary Amendment (*Please enter all claim amendments prior to calculating the filing fee.*)
11. ☐ English Translation Document
12. ☐ Certified Copy of

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13. ☐ Sequence Listing/ Sequence Listing Diskette  
 a. ☐ computer readable copy  
 b. ☐ paper copy  
 c. ☐ statement in support  
 14. ☐ An Associate Power of Attorney  
 15. ☒ Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*  
 16. ☐ Other:

The fee has been calculated as shown below:

	Column 1 No. Filed	Column 2 No. Extra	Small Entity Rate Fee	Large Entity Rate Fee
BASIC FEE			\$355.00	\$710.00
TOTAL CLAIMS	4 - 20 =	0	x 09 = \$ -0-	x 18 = \$
INDEP CLAIMS	2 - 3 =	0	x 40 = \$ -0-	x 80 = \$0
<input type="checkbox"/> MULTIPLE Dependent Claims Presented			+ 135 = \$	+ 270 = \$
If the difference in Col. 1 is less than zero, Enter "0" in Col. 2			Total \$ 355.00	Total \$

- ☒ A check in the amount of **\$355.00** to cover the filing fee is enclosed.
- ☐ A check in the amount of \$ is enclosed to cover the filing fee, PLUS the Assignment Recordation fee (\$40.00).
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. **50-0220**.
- ☒ Any additional filing fees required under 37 CFR 1.16.
- ☒ Any patent application processing fees under 37 CFR 1.17.

Respectfully submitted,



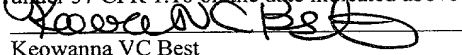
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**CERTIFICATE OF EXPRESS MAILING**

Express Mail Label No. EL733097828 US  
 Date of Deposit: May 23, 2001

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Box Patent Application, Commissioner For Patents, Washington, DC 20231.

  
 Keowanna VC Best  
 Date of Signature: May 23, 2001